

Attorney Docket No. 23356-M5
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Jia-He Li et al.

Attv Docket No. 23356-M5

Serial No. _____ Filed: _____

For: **OXO-SUBSTITUTED COMPOUNDS, PROCESS OF MAKING, AND COMPOSITIONS AND ...
METHODS FOR INHIBITING PARP ACTIVITY**

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) AND 1.27(c) - SMALL BUSINESS CONCERN

I hereby declare that I am:

- ☐ () the owner of the small business concern identified below
☒ (x) an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: **GUILFORD PHARMACEUTICALS INC.**

ADDRESS OF CONCERN: **6611 Tributary Street, Baltimore, MD 21224**

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time, or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled **OXO-SUBSTITUTED COMPOUNDS, PROCESS OF MAKING, AND COMPOSITIONS AND METHODS FOR INHIBITING PARP ACTIVITY** by inventors **Jia-He Li, Kevin Leonard TATE, and Jie-ZHANG**, described in --

- ☒ (x) the specification filed herewith
☐ () Application Serial No. _____ filed _____ () Patent No. _____

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or ... by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under

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37 CFR 1.9(e). *NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.278)

Full Name _____

Address _____

☐ Individual ☐ Small Business ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing: Thomas C. Seoh, Esq.Title of Person Signing Vice President, General Counsel & SecretaryAddress of Person Signing: 6611 Tributary StreetBaltimore, MD 21224

Thomas C. Seoh
Signature _____ Date _____
Thomas C. Seoh

GMN:KLO:kay

DECLARATION FOR PATENT APPLICATION

Atty Docket 23356-M5

As the below-named inventors, we hereby declare that:

Our residences, post office addresses and citizenships are as stated below next to my name.

We believe we are the original inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**OXO-SUBSTITUTED COMPOUNDS, PROCESS OF MAKING, AND
COMPOSITIONS AND METHODS FOR INHIBITING-RARF ACTIVITY**

the specification of which: (check one)

☒ is attached hereto.

☐ was filed on _____, as Serial No. _____,

and was amended on _____ 19 _____ (if applicable).

We hereby state that we have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

We acknowledge the duty to disclose information which is material to the patentability of this application as defined by 37 CFR § 1.56.

We hereby claim foreign priority benefits under 35 U.S.C. § 119 of any foreign application(s) for patent or inventor's certificate listed below, and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Applications:

Priority Claimed

_____ (Application No.)	_____ (Country)	____/____/____ (Day/Month/Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
_____ (Application No.)	_____ (Country)	____/____/____ (Day/Month/Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No

We hereby appoint Gary M. Nath, Reg. No. 26,965; Irvin A. Lavine, Reg. No. 16,838; Karen Lee Orzechowski, Reg. No. 31,621; Harold L. Novick, Reg. No. 26,011; Suet M. Chong, Reg. No. 38,104; Todd L. Juneau, Reg. No. 40,669; Patricia M. Drost, Reg. No. 29,790; Lee C. Heiman, Reg. No. P-41,827; Donald L. Candler, Reg. No. 10,237, and Robert C. Lov, Reg. No. 30,380, as my attorneys to prosecute this application and transact all business in the U.S. Patent and Trademark Office connected therewith.

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NATH & ASSOCIATES
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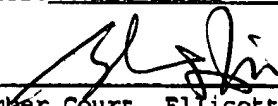
We hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by 35 U.S.C. § 112, first paragraph, we acknowledge the duty to disclose material information as defined in 37 CFR § 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

<u>08/922.520</u> (U.S. Application Serial No.)	<u>September 3, 1997</u> (U.S. Filing Date)	<u>pending</u> (Status--patented, pending, abandoned)
<u>09/079.509</u> (U.S. Application Serial No.)	<u>May 15, 1998</u> (U.S. Filing Date)	<u>pending</u> (Status--patented, pending, abandoned)

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We hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor: Jia-He LiInventor's Signature Date 8-28-98Residence: 10105-K Woodlake Drive, Cockeysville, Maryland 21030Citizenship: United StatesPost Office Address: 10105-K Woodlake Drive, Cockeysville, Maryland 21030Full name of second inventor: Kevin Leonard TaysInventor's Signature Date 8-28-98Residence: 6847 Old Waterloo Road Apt. 1415, Elkridge, MD 21075Citizenship: United StatesPost Office Address: 6847 Old Waterloo Road Apt. 1415, Elkridge, MD 21075Full name of third inventor: Jie ZHANGInventor's Signature Date 8/27/98Residence: 8513 High Timber Court, Ellicott City, Maryland 21043Citizenship: Peoples Republic of ChinaPost Office Address: 8513 High Timber Court, Ellicott City, Maryland 21043